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**FAX TRANSMITTAL SHEET**

DATE: MARCH 28, 2007

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THIS FAX TRANSMITTAL SHEET): 4

LVM REFERENCE: 252887

FROM: JENNIFER M. DUK

DIRECT LINE: (312) 616-5600

REGISTRATION NO. 52,838

TO: COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

FAX NUMBER: (571) 270-9841

IN RE APPLN. OF: SOON-SHIONG ET AL.  
APPLICATION NO. 10/583,803  
FILED: JUNE 22, 2006  
FOR: DI-ESTER PRODRUGS OF CAMPTOTHECIN, PROCESS FOR  
THEIR PREPARATION AND THEIR THERAPEUTICAL  
APPLICATIONS  
ATTORNEY DOCKET: 252887

**ATTACHED PLEASE FIND THE FOLLOWING DOCUMENTS:**

1. RESPONSE TO NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES (1 PAGE)
2. COPY OF NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES (2 PAGES)

A confirmation copy of the transmitted document will:  
☒ Not be sent. This will be the only form of delivery of the transmitted document.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent Application No. 10/583,803

TC/AU: Unassigned

Applicant: Soon-Shiong et al.

Examiner: Unassigned

Filed: June 22, 2006

Customer No.: 23460

Docket No.: 252887

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

VIA FACSIMILE to (571) 270-9841

**RESPONSE TO NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR  
PATENT APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

Dear Sir

Applicants hereby respond to the "Notification to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures" (Form PCT/DO/EO/922) dated March 22, 2007.

The items checked below are appropriate:

**1. Documents Submitted Herewith**

- ☒ Copy of the "Notification to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures" (Form PCT/DO/EO/922)

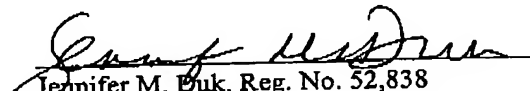
**2. Statement of Applicants in response to the Notification**

- ☒ Applicants believe that the attached Form PCT/DO/EO/922 was sent to the undersigned Agent in error, due to the fact that the application contains no nucleotide and/or amino acid sequences.

**3. Fee**

- ☒ No fee is believed to be due. However, if any fee is required in connection with this communication, charge Account No. 12-1216.

Respectfully Submitted,

  
Jennifer M. Duk, Reg. No. 52,838  
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Date: March 28, 2007



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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U.S. APPLICATION NUMBER NO. 10/583,803	FIRST NAMED APPLICANT Patrick Soon-Shiong	ATTY. DOCKET NO. 252887
INTERNATIONAL APPLICATION NO. PCT/US04/43719		
I.A. FILING DATE 12/23/2004		PRIORITY DATE 12/23/2003

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MAR 27 2007

Date Mailed: 03/22/2007

PAY/TM Due Date

CONFIRMATION NO. 4888

371 FORMALITIES LETTER



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### NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c). Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patent Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patent Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

**PART 1 - ATTORNEY/APPLICANT COPY .**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/583,803	PCT/US04/43719	252887

FORM PCT/DO/EO/922 (371 Formalities Notice)